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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/386,330	08/30/1999	ATSUSHI OKADA	862.3001	1300
5514	7590	01/14/2004	EXAMINER	
FITZPATRICK CELLA HARPER & SCINTO 30 ROCKEFELLER PLAZA NEW YORK, NY 10112			HAQ, NAEEM U	
			ART UNIT	PAPER NUMBER
			3625	

DATE MAILED: 01/14/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

## Interview Summary

Application No.

09/386,330

Applicant(s)

OKADA ET AL.

Examiner

Naeem Haq

Art Unit

3625

All participants (applicant, applicant's representative, PTO personnel):

(1) Naeem Haq - Examiner.

(3) Michael K. O'Neill - Attorney of Record.

(2) Jeff Smith - Primary Examiner.

(4) Matthew Evans - Attorney of Record.

Date of Interview: 08 January 2004.

Type: a) ☒ Telephonic b) ☐ Video Conference  
c) ☐ Personal [copy given to: 1) ☐ applicant 2) ☐ applicant's representative]

Exhibit shown or demonstration conducted: d) ☐ Yes e) ☒ No.  
If Yes, brief description: \_\_\_\_\_.

Claim(s) discussed: Proposed claim 1.

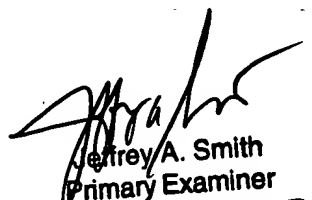
Identification of prior art discussed: Wiecha (US 5,870,717).

Agreement with respect to the claims f) ☐ was reached. g) ☒ was not reached. h) ☐ N/A.

Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: See Continuation Sheet.

(A fuller description, if necessary, and a copy of the amendments which the examiner agreed would render the claims allowable, if available, must be attached. Also, where no copy of the amendments that would render the claims allowable is available, a summary thereof must be attached.)

THE FORMAL WRITTEN REPLY TO THE LAST OFFICE ACTION MUST INCLUDE THE SUBSTANCE OF THE INTERVIEW. (See MPEP Section 713.04). If a reply to the last Office action has already been filed, APPLICANT IS GIVEN ONE MONTH FROM THIS INTERVIEW DATE, OR THE MAILING DATE OF THIS INTERVIEW SUMMARY FORM, WHICHEVER IS LATER, TO FILE A STATEMENT OF THE SUBSTANCE OF THE INTERVIEW. See Summary of Record of Interview requirements on reverse side or on attached sheet.

  
Jeffrey A. Smith  
Primary Examiner  
Acting SPE  
AU 3625

Examiner Note: You must sign this form unless it is an Attachment to a signed Office action.

  
Examiner's signature, if required

## Summary of Record of Interview Requirements

### Manual of Patent Examining Procedure (MPEP), Section 713.04, Substance of Interview Must be Made of Record

A complete written statement as to the substance of any face-to-face, video conference, or telephone interview with regard to an application must be made of record in the application whether or not an agreement with the examiner was reached at the interview.

#### Title 37 Code of Federal Regulations (CFR) § 1.133 Interviews

##### Paragraph (b)

In every instance where reconsideration is requested in view of an interview with an examiner, a complete written statement of the reasons presented at the interview as warranting favorable action must be filed by the applicant. An interview does not remove the necessity for reply to Office action as specified in §§ 1.111, 1.135. (35 U.S.C. 132)

#### 37 CFR §1.2 Business to be transacted in writing.

All business with the Patent or Trademark Office should be transacted in writing. The personal attendance of applicants or their attorneys or agents at the Patent and Trademark Office is unnecessary. The action of the Patent and Trademark Office will be based exclusively on the written record in the Office. No attention will be paid to any alleged oral promise, stipulation, or understanding in relation to which there is disagreement or doubt.

The action of the Patent and Trademark Office cannot be based exclusively on the written record in the Office if that record is itself incomplete through the failure to record the substance of interviews.

It is the responsibility of the applicant or the attorney or agent to make the substance of an interview of record in the application file, unless the examiner indicates he or she will do so. It is the examiner's responsibility to see that such a record is made and to correct material inaccuracies which bear directly on the question of patentability.

Examiners must complete an Interview Summary Form for each interview held where a matter of substance has been discussed during the interview by checking the appropriate boxes and filling in the blanks. Discussions regarding only procedural matters, directed solely to restriction requirements for which interview recordation is otherwise provided for in Section 812.01 of the Manual of Patent Examining Procedure, or pointing out typographical errors or unreadable script in Office actions or the like, are excluded from the interview recordation procedures below. Where the substance of an interview is completely recorded in an Examiners Amendment, no separate Interview Summary Record is required.

The Interview Summary Form shall be given an appropriate Paper No., placed in the right hand portion of the file, and listed on the "Contents" section of the file wrapper. In a personal interview, a duplicate of the Form is given to the applicant (or attorney or agent) at the conclusion of the interview. In the case of a telephone or video-conference interview, the copy is mailed to the applicant's correspondence address either with or prior to the next official communication. If additional correspondence from the examiner is not likely before an allowance or if other circumstances dictate, the Form should be mailed promptly after the interview rather than with the next official communication.

The Form provides for recordation of the following information:

- Application Number (Series Code and Serial Number)
- Name of applicant
- Name of examiner
- Date of interview
- Type of interview (telephonic, video-conference, or personal)
- Name of participant(s) (applicant, attorney or agent, examiner, other PTO personnel, etc.)
- An indication whether or not an exhibit was shown or a demonstration conducted
- An identification of the specific prior art discussed
- An indication whether an agreement was reached and if so, a description of the general nature of the agreement (may be by attachment of a copy of amendments or claims agreed as being allowable). Note: Agreement as to allowability is tentative and does not restrict further action by the examiner to the contrary.
- The signature of the examiner who conducted the interview (if Form is not an attachment to a signed Office action)

It is desirable that the examiner orally remind the applicant of his or her obligation to record the substance of the interview of each case. It should be noted, however, that the Interview Summary Form will not normally be considered a complete and proper recordation of the interview unless it includes, or is supplemented by the applicant or the examiner to include, all of the applicable items required below concerning the substance of the interview.

A complete and proper recordation of the substance of any interview should include at least the following applicable items:

- 1) A brief description of the nature of any exhibit shown or any demonstration conducted,
- 2) an identification of the claims discussed,
- 3) an identification of the specific prior art discussed,
- 4) an identification of the principal proposed amendments of a substantive nature discussed, unless these are already described on the Interview Summary Form completed by the Examiner,
- 5) a brief identification of the general thrust of the principal arguments presented to the examiner,  
(The identification of arguments need not be lengthy or elaborate. A verbatim or highly detailed description of the arguments is not required. The identification of the arguments is sufficient if the general nature or thrust of the principal arguments made to the examiner can be understood in the context of the application file. Of course, the applicant may desire to emphasize and fully describe those arguments which he or she feels were or might be persuasive to the examiner.)
- 6) a general indication of any other pertinent matters discussed, and
- 7) if appropriate, the general results or outcome of the interview unless already described in the Interview Summary Form completed by the examiner.

Examiners are expected to carefully review the applicant's record of the substance of an interview. If the record is not complete and accurate, the examiner will give the applicant an extendable one month time period to correct the record.

#### Examiner to Check for Accuracy

If the claims are allowable for other reasons of record, the examiner should send a letter setting forth the examiner's version of the statement attributed to him or her. If the record is complete and accurate, the examiner should place the indication, "Interview Record OK" on the paper recording the substance of the interview along with the date and the examiner's initials.

Continuation of Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: The Attorneys of Record explained their clients' invention as follows: Figure 24 shows a list of items which can be either approved or rejected. An item is selected and a user clicks on either the approval button or rejection button. Figures 25 and 26 show a verification window for the approval or rejection. If the user clicks on "OK" the item is either approved or rejected. If the user clicks "CANCEL" the operation is aborted. When an item is approved or rejected, the item is then removed from the list of items on Figure 24. The Examiners and the Attorneys talked about the teachings of Wiecha, but could not reach an agreement. The Examiners argued that Wiecha teaches deleting an item when an order is placed (column 10, lines 2-3). However, the Attorneys argued that this did not read on their clients' invention of deleting an item after an approval or rejection. The Examiners requested that the Attorneys clarify the distinction between an "approval process" and "placing an order" in their formal response. The Examiners argued that "placing an order" is merely the last step of an approval process and therefore reads on the applicants' claims language. The Attorneys disagreed. Finally, the Attorneys requested that the Examiners explicitly acknowledge the receipt and consideration of specifications from various other applications as part of the IDS for this application. The Examiners agreed and hereby acknowledge receiving specifications from applications 09/385,841; 09/386,331; and 09/385,047. These specifications will be considered part of the current application's IDS and will be reviewed at the time the formal amendment is filed.

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**FACSIMILE COVER SHEET**

**TO:** Examiner N. Haq  
U.S. Patent and Trademark Office

**FROM:** Michael K. O'Neill, Reg. No. 32,622

**RE:** Application No. 09/386,330  
Attorney Docket No. 00862.003001

**FAX NO.:** (703) 746-8326

**DATE:** January 7, 2004

**NO. OF PAGES:** 3

**TIME:** 6:08

**SENT BY:** Dawn

**MESSAGE****INFORMAL PAPERS**

Examiner Haq:

Attached is a Proposed Claim Sheet for discussion during our telephone interview on Thursday, January 8, 2004 at 2:00 p.m. (your time) in Application No. 09/386,330.

**IF YOU DO NOT RECEIVE ALL THE PAGES  
PLEASE CALL (714) 540-8700 AS SOON AS POSSIBLE.**

**Note:** We are transmitting from a Canon Model FAX-L770  
(compatible with any Group I, Group II or Group III machine).

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Discussed at Interview of 1/8/04

From: Matthew Evans  
Michael K. O'Neill, Reg. No. 32,622  
To: Examiner N. Haq  
Interview Agenda, Application No. 09/386,330  
Thursday, January 8, 2004, 2:00 PM (EST)

### Interview Agenda

This is to confirm that we have scheduled a personal interview for Thursday, January 8, 2004, at 2:00 p.m. to discuss Application No. 09/386,330. As agreed upon, I have prepared the following proposed agenda.

In our discussion, I intend to discuss how the features of Wiecha, Doyle, Langhans, and Barnes are different from those of the invention, particularly with regard to the appearance of items displayed by display means, which displays a list of articles for which approval is requested, as well as an approval button and a reject button. In the embodiment described in the specification, this appearance is depicted in Figure 24. A proposed claim amendment is shown below.

### PROPOSED CLAIM SHEET FOR INTERVIEW DO NOT ENTER

1. (Proposed) A purchase request approving apparatus capable of approving a purchase request of a desired article stored in a database in advance, comprising:

display means for displaying ~~items of information, the items of information being~~  
~~(i) stored in a database in advance and (ii) associated with articles for which approval of purchase~~  
~~is requested, in a list window capable of displaying the articles as a list~~ a list window, wherein  
the list window contains a list of articles for which approval is requested, a selection approval  
button to display an approval processing window, and a selection reject button to display a  
rejection processing window;

selecting means for selecting ~~a desired~~ an article, in accordance with a user operation, from the articles displayed in the list window;

display control means for ~~controlling~~ executing appearance of an approval

processing window in response to selection of the selection approval button, and for executing appearance of a rejection processing window in response to selection of the selection reject button, wherein the approval processing window having has an approval button to perform approval of the selected article, an approval cancel button to cancel approval processing of the selected article, and the selected article, and wherein the [[a]] rejection processing window having has a reject button to perform rejection of the selected article, a reject cancel button to cancel rejection processing of the selected article, and the selected article the approval window and the rejection window being different from each other and each window being displayed at a time different than the time the other window is displayed;

input means for inputting information representing approval of purchase of the selected article in the approval window; and

purchase approving means for, when information representing approval of purchase of the selected subject article is input, storing the inputted information in the database; the selected article as an approved article in the database, and deleting the selected article from the displayed items associated with the articles displayed by said display means, displayed items associated with the approved article the list in the list window in response to selecting the approval button in the approval processing window;

purchase rejection means for storing the selected article as a rejected article in the database in response to selecting the reject button in the rejection processing window.

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